

**DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD**

PERFORMANCE APPRAISAL FORM

This form shall be used for appropriated fund civilian employees in the General Schedule (GS/GM) and Wage Grade(WG) pay systems covered by the Excellence, Achievement and Recognition System(EARS).

INSTRUCTIONS TO RATING OFFICIAL

1. Beginning of the Appraisal Rating Period.

- a. Develop and discuss performance plan with the employee. In Part IIa, identify a minimum of four Core Competencies (CC's) applicable to the employee, including any that are Mandatory, by checking the appropriate boxes.
- b. Clarify standards or specific tasks in Part IIb. (Optional).
- c. Sign the performance appraisal form as the rating official and obtain the approving official's and employee's signature in the designated boxes in Part II.
- d. Provide a copy of the performance appraisal form to the employee and retain the original for your records.
- e. In order to protect the privacy of the employee, keep the performance appraisal form in a secure place.

2. Progress Reviews.

- a. EARS requires two documented progress reviews to discuss performance to date and changes in the performance plan. Part III of the form must be used to document completion of the progress reviews. Changes to the performance plan should be documented and, comments, if any, may be stated in the space indicated for rating official and employee in Part III.

3. The End of the Appraisal Rating Period.

- a. Provide the employee an opportunity to comment on accomplishments for final rating in Part IV.
- b. In Part IIa, check the appropriate rating (Exceeds, Meets or Fails to Meet) as measured against the performance standard for each applicable Core Competency.
- c. Summarize outcomes and results achieved by the employee in Part V and check box indicating final rating (Exceeds, Meets or Fails to Meet) based on the these criteria:

Exceeds – No more than one CC is rated as “Meets” and no CC is rated “Fails to Meet.” This is superior, truly noteworthy performance, accomplished with little supervision. Performance at this level adds an unusual degree of value to the organization and significantly contributes to mission accomplishment.

Meets - Two or more CC's are rated “Meets” and none is rated “Fails to Meet.” This is good, sound performance, accomplished with normal supervision. “Meets” encompasses the broad range of performance including at the upper end performance of high organizational value and commendable mission accomplishment.

Fails to Meet – One or more CC's is rated “Fails to Meet.” The performance fails to meet the performance standard's criteria. Requires unusually close supervision or correct work substantially.

- d. Approving official's concurrence must be obtained **prior to discussing the rating of record with the employee.**
- e. Sign the performance appraisal form as the rating official and forward to the approving official for signature in the designated boxes in Part V.
- f. When rating is completed and approved, supervisor discusses rating with the employee and the employee signs. Original appraisal forms are maintained by the Civilian Personnel Management Division. Copy of appraisal is provided to employee.